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# STARS MANUAL

## BUDGETING – AGENCY MANAGEMENT CONTROLS (ALLOCATIONS)

### INTRODUCTION

Allocations allow your management to control the appropriation amount down to a detail level below the required amount in the appropriation bill. When you want to put fatal controls on spending by specific areas or programs within your agency, you can use allocations.

Allocations are also another way of collecting information for reporting or viewing online. Since allocation controls affect *all funds* within a budget unit, you may want to use grant controls instead of allocations. You can find allocation controls on the following tables:

ELEMENT	DESCRIPTION
FUND DETAIL	The fund detail setup determines whether your agency will control and post allocations at the <u>Fund or Fund Detail</u> level. If you do not use fund details, this will default to the Fund level.
BUDGET UNITS	The budget unit setup determines whether allocation controls <u>are fatal</u> , whether you will control down allocations to the <u>project/phase level</u> , and to which <u>expenditure object level</u> the allocations are controlled and posted. Allocation controls are the same for all funds in the budget unit.
PCA/INDEX	The Index and PCA setups determine to which level in the Organization or Program structure the allocation post to the Allocation File when the PCA or Index is used. This level <u>must</u> be no higher than the Organization or Program structure level used on the budget unit.

### FUND DETAIL

The fund detail setup determines whether the agency will control and post allocations at the Fund or Fund Detail level. You must control and post all allocations for a fund detail at the same level on the allocation file regardless of which Budget Unit you use. If you do not use fund details, this will default to the Fund level. For setting up fund detail, [click here for details about using budget tables and forms](#).

## BUDGET UNITS

The budget unit setup determines whether allocation controls are fatal, whether you will be controlling allocations down to the project/phase level, and to which expenditure object level you will control and post the allocations. For ease in requesting allocation reports, you may want to consider using the same controls for all budget units. However, depending on the nature of the budget unit (“program”) different levels may be desirable. For setting up budget units, [click here for details about using budget tables and forms](#).

*Remember: The controls you set on the individual budget units will affect all funds within the budget unit.*

## PCA/INDEX

The PCA and Index setup determines the structure level (Organization and Program level) to which the Allocations post to the Allocation File. The PCA Allocation Program Level and the Index Allocation Organization Level Indicators *must* be at least to the level of the structure on the Budget Unit table.

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**CAUTION:** If you set the Budget Unit to a fatal control, the fatal control will be at this level. In addition, allocations must be entered at this level. If you set the Budget Unit to a warning, you could get numerous warning messages on the daily error reports.

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The following examples describe the Budget Unit Table (20) for budget unit CCAC and how it relates to the PCA Table (26) and the Index Table (24).

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**WARNING:** If you post transactions and later find out the controls on the PCA or Index are incorrect, you will have to reverse all of the transactions, change the incorrect control indicator, and then re-post all of the transaction information. If you need make a change, we recommend making the change on the Budget Unit beginning the next fiscal year.

**DOCUMENT FILE WARNING:** If you change the ALLOC-PRG-LEVEL on the PCA Table or the ALLOC ORG LVL IND on the Index Table during the year, you may not be able to post to documents you have previously posted to the Document File.

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## BUDGET UNIT TABLE EXAMPLE

You can find the Budget Unit Table in the STARS menu under **T** for Table Maintenance and **20** for Budget Unit.

- The Allocation Program Level on the PCA must be at least to the **Function level**.
- The Allocation Organization Level on the Index must be at least to the **Bureau level**.

**Budget Unit Table (20)**

VERSION 3.1	STARS--BUDGET UNIT TABLE MAINTENANCE/INQUIRY		S020
FUNCTION: R (A=ADD, C=CHANGE, D=DELETE, N=NEXT, R=RECALL)			
<b>BUDGET UNIT: CCAC</b>	BFY: 00	APPN CATEGORY: R	
TITLE: ISCI - BOISE		-	
APPN-EFF-DATE-START:	APPN-EFF-DATE-END:	ENACTMENT YEAR: 2000	
STATE GOAL: 20	STATE OBJECTIVE: 24	ORG REPORT CATEGORY:	
<b>FUNCTION: 02</b>	ACTIVITY:	PROGRAM:	ELEMENT:
AGENCY: 230	<b>DIVISION: 20 BUREAU: 21</b>	SECTION:	UNIT:
EXP-SUBOBJECT:	EXP-DETAIL:	REVERSION IND: 1	CITATION: HB 346
FUND/DETAIL : 0001 2) 0348 3) 0349 4) 0481 05 5)			
APPN-CTL-TYPE: 1 APPN-ORG-LEVEL: 3 APPN-PRG-LEVEL: 1 APPN-PROJ-LVL: 0			
ALLOC-CTL-TYPE: 0 ALLOC-PROJ-LVL: 0 APPN-OBJ-LEVEL: 1 ALLOC-OBJ-LVL: 2			

## PCA (PROGRAM COST ACCOUNT) TABLE EXAMPLE

The PCA Table is found in the STARS menu under **T** for Table Maintenance and **26** for Program Cost Account.

VERSION 3.1	STARS--PROGRAM COST ACCOUNT TABLE MAINTENANCE/INQUIRY		S026
ENTER FUNCTION: R (A=ADD, C=CHANGE, D=DELETE, N=NEXT, R=RECALL)			
AGENCY: 230	<b>PCA: 14055</b>	BFY: 00	
PCA TYPE: 1 TITLE: FOOD SERVICE			
FUNCTION: 02	ACTIVITY: 40	PROGRAM: 405	ELEMENT: 000
PCA-LEVEL-1:	<b>ALLOC-PRG-LEVEL: F</b>	BUDGET UNIT: CCAC	
PROJECT-NO:	PROJECT-PHASE:	FUND/DET:	0481 05
GRANT-NO:	GRANT-PHASE:	INDEX:	2021
FACILITY:	TASK:	LOCATION:	
SERVICE UNIT	STANDARD:	TYPE:	TITLE:
EFF-START-DATE:	EFF-END-DATE:	LAST-PROC-DATE: 050799	

Posts to "F" (fund and PCA). This is okay because the **PCA level** is below the **Function level** of the Budget Unit.

## INDEX CODE TABLE EXAMPLE

You can find the Index Code Table in the STARS menu under **T** for Table Maintenance and **24** for Index Code.

Index Table (24)			
VERSION 3.1	STARS--INDEX CODE TABLE MAINTENANCE/INQUIRY		S024
FUNCTION: R (A=ADD, C=CHANGE, D=DELETE, N=NEXT, R=RECALL)			
AGENCY: 230	INDEX: 2021	<div style="border: 1px solid black; padding: 5px;">           Posts to "D" (fund and PCA). This is okay because the <b>Index level</b> is below the <b>Bureau level</b> of the Budget Unit.         </div>	
TITLE: ISCI - BOISE			
DIVISION: 20 BUREAU: 21 SECTION:		UNIT:	
BUDGET-UNIT:	PCA:	ALLOC ORG LVL IND: D	
FUND:	FUND DETAIL:	ORG REPORT CATEGORY:	
PROJECT-NO:	PROJECT-PHASE:	CONVERTED-ORG:	
GRANT-NO:	GRANT-PHASE:		
FACILITY:	TASK:	LOCATION:	
EFF-START-DATE:	EFF-END-DATE:	LAST-PROC-DATE: 050799	

## ALLOCATION TYPES AND TRANSACTION CODES

### RELATIONSHIP TO OTHER TABLES

Once you establish the budget units, funds, PCAs, and Indexes, you can set up allocation amounts on STARS.

Using the Budget Unit, PCA, and Index table information, STARS posts transaction amounts to the allocation type fields. Each of the fields is assigned a number such as "01", "02", etc. and may not be in any certain order. These transactions post to the fields as a "+" or "-" to the Allocation File based on the Transaction Code corresponding to each Allocation type.

## ALLOCATION FILE EXAMPLE

You can find the Allocation File in the STARS menu under **I** for Online File Inquiry and under column Record **Inquiries 61** for Allocation File (AL).

The appropriation was written to the Bureau level, but the agency wishes to lower controls down to the Section level for a Regional Office.

The Index determines whether the amounts post at the section level and/or split by fund.

**Allocation File RECORD Inquiry (61)**

VERSION 3.1		STARS-ALLOCATION FILE RECORD INQUIRY		S061	
AGENCY: 230	DIV: 30	BUR: 31	SEC: 11	UNIT:	INDEX:
BFY: 00	TRANS YR: 00	FUNC:	ACTV:	PRG:	ELEM:
FUND/DET: 0481 05	EXP OBJECT/DET: 5000	PROJ/PH:		BUDGET UNIT: CCAC	PCA:
CM: X	PM:	CP:	PP:	PY:	CUM: X
OVER EXPEND DATE:		CLOSE DATE:			
1 <sup>ST</sup> QT ALLOCATION	205,500.00-	2 <sup>ND</sup> QT ALLOCATION	0.00		
3 <sup>RD</sup> QT ALLOCATION	0.00	4 <sup>TH</sup> QT ALLOCATION	0.00		
GOV'S HOLDBACK	0.00	BRD EXAM REDUCTION	0.00		
RESERVE	0.00	NON-COGNIZABLE	0.00		
CASH EXPENDITURES	11,489.00	OBJECT TRANSFERS	0.00		
ENCUMBRANCES	511.00	RECEIPTS TO APPROP	0.00		
ACTIVITY TRANSFERS	0.00	BALANCE:		193,500.00-	
ACCRD EXPEND(MEMO)	0.00				
PRE-ENCUM (MEMO)	0.00				

Transactions post to these different Allocation Type "fields" depending on the transaction code used.

The normal balance for the Allocation File is a negative. A negative BALANCE amount means you have that much allocation left to spend.

## TRANSACTION CODES AND ALLOCATION TYPES

In order to start entering allocations, you must know which type of allocation you wish to enter. There are seven types of allocations with their corresponding transaction codes. You can see these as allocation type fields on the Allocation File. Additional transaction codes are also shown if you wish to enter allocations and financial plans with the same entry.

The following is a list with a brief description of the transaction codes you can use for allocations.

<b>Transaction Code</b>	<b>Appropriation Type (Transaction Code Description)</b>
061	1 <sup>st</sup> Quarter Allocation (see 085 below)
062	2 <sup>nd</sup> Quarter Allocation
063	3 <sup>rd</sup> Quarter Allocation
064	4 <sup>th</sup> Quarter Allocation
065	Non-Cognizable (see 083 below)
068	Object Transfer (see 082 below)
069	Activity Transfer (see 081 below)
081	Activity Transfer & Financial Plans
082	Object Transfer & Financial Plans
083	Non-Cognizable & Financial Plans
085	Annual (1 <sup>st</sup> Quarter) Allocation & Financial Plans

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**NOTES:** 019 - Gov's Holdback is already entered with the appropriation TC.

022 - Brd of Examiners Reduction is already entered with the appropriation TC.

080 - Since the 2<sup>nd</sup>, 3<sup>rd</sup>, and 4<sup>th</sup> allocations and the Gov's Holdback and Brd of Examiners Reductions do not have a TC to post to the financial plans. You will have to use the 080 which posts only to financial plans.

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## ALLOCATION ADJUSTMENT TRANSACTION CODES

There are no special transaction codes to use for adjusting allocations. Use the “R” reversal indicator on the above allocation transaction codes.

## APPROPRIATION TYPES / TRANSACTION CODES VS. ALLOCATION TYPES / TRANSACTION CODES

When using allocations, you should post the following appropriation types at least to the 1<sup>st</sup> Quarter Allocation field. If you want to portion out the amount of allocation during the year, the 2<sup>nd</sup>, 3<sup>rd</sup>, and 4<sup>th</sup> Quarter Allocation fields are available.

The total of all quarters should match the total of the appropriation types listed below. (EX: If an original appropriation is for \$200,000, each of the quarters may be for \$50,000 each. If you have fatal allocation controls, in the 1<sup>st</sup> quarter, you could only spend up to \$50,000; however, if only \$40,000 is spent, you can spend \$60,000 (\$50,000 + \$10,000) in the 2<sup>nd</sup> quarter.)

If management does not wish to allocate the full appropriation amount, it is recommended that an allocation posting be done to show the excess so the totals can easily be kept in balance with the appropriation and financial plan balances.

The following lists the types of appropriation and the field you should post the corresponding allocation. If you need information on the appropriation types, see the Appropriation section:

<b><u>APPROPRIATION TYPE (TC)</u></b>	<b><u>ALLOCATION TYPE (TC) – The amounts in the appropriation type can be divided out to these allocation types</u></b>
Original (010) Supplemental (015) PY Reappropriation.(012) Reversion (021) Receipt to Appn (027)	1 <sup>st</sup> Quarter Allocation (061)  (use TC 085 to post to both allocations and financial plans)  2 <sup>nd</sup> Quarter Allocation (opt) (062) 3 <sup>rd</sup> Quarter Allocation (opt) (063) 4 <sup>th</sup> Quarter Allocation (opt) (064)  Since 2 <sup>nd</sup> , 3 <sup>rd</sup> , and 4 <sup>th</sup> Quarter Allocations do not have transaction codes that post to both allocations and financial plans, you must post an additional TC 080 to post financial plans for those quarters.



<b><u>APPROPRIATION TYPE (TC)</u></b>	<b><u>ALLOCATION TYPE (TC) – The amounts in the appropriation type can be divided out to these allocation types</u></b>
Gov's Holdback (019)	Gov's Holdback.(019 automatically posts to allocations so you  Will not need to enter an additional allocation TC)  (Since Gov's Holdbacks do not have a transaction code that posts to both allocations and financial plans, you must enter an additional TC 080 to post financial plans.)
Brd of Examiners Reduction (022)	Brd of Examiners Reduction (022 automatically posts to allocations so you do not need to enter an additional allocation TC)  (Since Brd of Examiners Reductions do not have a transaction code that automatically posts to both allocations and financial plans, you must enter an additional TC 080 to post financial plans.)
Non-Cognizable (025)	Non-Cognizable (065)  (use TC 083 to post to both allocations and financial plans)
Object Transfers (030)	Object Transfers (068)  (use TC 082 to post to both allocations and financial plans)
Activity Transfers (031)	Activity Transfers (069)  (use TC 081 to post to both allocations and financial plans)
Reserve	Not currently in use.

## ONLINE ALLOCATION FILE INQUIRY

The Allocation File Record Inquiry is the only inquiry screen for allocations. Allocations post to this file in the same manner as the Appropriation File with the exception of the Quarter Allocations. Refer to the table on the previous page to determine what *types* of amounts you should enter in the fields below.

You can find the Allocation File in the STARS menu under **I** for Online File Inquiry and under column Record Inquiries **61** for Allocation File (AL). There are no allocation files under financial inquiries.

The AL control on the Fund Detail determines whether the allocation posts to the File at the fund or fund detail level.

The allocation controls on the PCA and Index determine the structure levels that post here.

### Allocation File RECORD Inquiry (61)

VERSION 3.1		STARS--ALLOCATION FILE RECORD INQUIRY		S061	
AGENCY: 230 DIV: 20 BUR: 21 SEC: UNIT: INDEX: BUDGET UNIT: CCAC BFY: 00 TRANS YR: 00 FUNC: 02 ACTV: 50 PRG: 000 ELEM: 000 PCA: 15005 FUND/DET: 0481 05 EXP OBJECT/DET: 5001 PROJ/PH:					
CM: X PM: CP: PP: PY: CUM: X ACTV:					
OVER EXPEND DATE: CLOSE DATE:					
<b>1ST QT ALLOCATION</b>		<b>41,200.00-</b>		<b>2ND QT ALLOCATION</b>	
<b>3RD QT ALLOCATION</b>		<b>0.00</b>		<b>4TH QT ALLOCATION</b>	
GOV'S HOLDBACK		0.00		BRD EXAM REDUCTION	
RESERVE		0.00		NON-COGNIZABLE	
CASH EXPENDITURES		12,213.49		OBJECT TRANSFERS	
ENCUMBRANCES		284.56		RECEIPTS TO APPROP	
ACTIVITY TRANSFERS		0.00			
ACCRD EXPEND(MEMO)		0.00		BALANCE :	
PRE-ENCUM (MEMO)		0.00		<b>28,701.95-</b>	

The Allocation Object Level on the Budget Unit determines the object level that posts here.

You can use the total of the **1<sup>st</sup> QT ALLOCATION**, the **2<sup>nd</sup> QT ALLOCATION**, the **3<sup>rd</sup> QT ALLOCATION** and the **4<sup>th</sup> QT ALLOCATION** individually or the full amount can be put in just the **1<sup>st</sup> QT ALLOCATION** field depending on the transaction code you use.

The normal balance for the Allocation File is a negative. A negative BALANCE amount means you have that much allocation left to spend.